



PTO/SB/08a/b (08-03)
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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
			Application Number	09/481,643	
			Filing Date	January 12, 2000	
			First Named Inventor	Lundy Lewis	
			Art Unit	2176	
			Examiner Name	Chau Nguyen	
Sheet	1	of	10	Attorney Docket Number	APB-014CNRCE3

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
CN	RX001	3,036,290	05-22-1962	Zarouni, A.	
CN	RX002	4,622,545	11-11-1986	Atkinson, W.D.	
CN	RX003	5,107,497	04-21-1992	Lirov, Y.V., et al.	
CN	RX004	5,123,017	06-16-1992	Simpkins, L.G., et al.	
CN	RX005	5,125,091	06-23-1992	Staas, Jr., P.C., et al.	
CN	RX006	5,133,075	07-21-1992	Risch, T.J.M.	
CN	RX007	5,226,120	07-06-1993	Brown, B., et al.	
CN	RX008	5,321,837	06-14-1994	Daniel, A.A., et al.	
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Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	†
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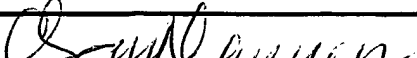
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NON PATENT LITERATURE DOCUMENTS			
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CN	RX011	Adler, R., et al. "Opera - An Expert Operations Analyst for a Distributed Computer System. IEEE. 1998; 179-85.	
CN	RX012	Aguilar, L. "NCMA: A Management Architecture that Integrates Enterprise Network Assets, Integrated Network Management I." in Meandzija et al., eds., <u>Integrated Network Management, I</u> , IFIP 1989; 27-39.	
CN	RX013	Amsel, E. "Network Security and Access Controls." <u>Expert Systems Applications in Integrated Network Management</u> . Elsevier Science Publishers, Ltd. 1988, 346-58.	
CN	RX014	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Day 1: Transcript of Markman Hearing" October 28, 2004, pp.1-114.	
CN	RX015	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Day 2: Transcript of Markman" November 4, 2004, pp.1-103.	
CN	RX016	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Deposition of Leonard J. Forsy" July 15, 2004, pp.1-311.	

Examiner Signature	<i>Chau Nguyen</i>	Date Considered	07/10/2005
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CN	RX017	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Videotaped Deposition of Mani Subramanian" July 22, 2004, pp.1-226.	
CN	RX018	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Memorandum and Order" January 11, 2005, pp.1-33.	
CN	RX019	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Rule 26(a) Report of Mani Subramanian" June 4, 2004, pp.1-28 and Exhibits A-H.	
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CN	RX037	Feldkhun, L., et al. "Integrated Network Management Systems (A Global Perspective in the Issue)" in Meandzija et al., eds., <u>Integrated Network Management, I</u> , IFIP 1989; 279-301.		
CN	RX038	Feridun, M., et al. "ANM: Automated Network Management System." <u>IEEE Network</u> . 1988 Mar; 2(2):13-9.		
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CN	RX056	"Information Technology - Open Systems Interconnection - Systems Management: Alarm Reporting Function." <u>ISO/IEC 10164-4</u> . 1992 Dec 15; 1-18.		

Examiner Signature	<i>Chau Nguyen</i>	Date Considered	07/26/2005
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CN	RX058	"Information Processing Systems - Open Systems Interconnection - Basic Reference Model - Part 4: Management Framework." <i>ISO/IEC 7498-4</i> . 1989 Nov 15; 1-9.	
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CN	RX060	Jankauskas, L., et al. "Technical Control of the Digital Transmissions Facilities of the Defense Communications System." <i>IEEE Transactions of Communications</i> . 1980 Sep; COM28(9): 1516-23.	
CN	RX061	Jordaan, J., et al. "Event Correlation in Heterogeneous Networks Using the OSI Management Framework." in Hegering et al., eds., <i>Integrated Network Management III, IFIP</i> . 1993; 683-95.	
CN	RX062	Karp, B.C., et al. "The Secure Data Network System." <i>AT&T</i> . 1988; 337-45.	
CN	RX063	Kara, et al. "An Architecture for Integrated Network Management." <i>IEEE</i> . 1989; 191-5.	
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CN	RX066	Kiemba, K.S. "Openview's Architectural Models" in Meandzija et al., eds., <i>Integrated Network Management I, IFIP</i> 1989; 565-72.	
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CN	RX068	Kobayashi, Y. "Standardization Issues in Integration Network Management, Integrated Network Management I." in Meandzija et al., eds., <i>Integrated Network Management I, IFIP</i> 1989; 79-90.	
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Examiner Signature	<i>Sam Nguyen</i>	Date Considered	09/22/05
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CN	RX079	Lirov, et al. "Artificial Intelligence Modeling of Control Systems." Simulation Councils, Inc. 1988, 427-39	
CN	RX080	Lusher, E. "An Expert System for Logistics Management." <i>AI Expert</i> 1988 31(9):46-53.	
CN	RX081	Mahler, D. "Multi-Vendor Network Management - The Realities." in Hegering et al., eds., <u>Integrated Network Management III, IFIP</u> . 1993; 711-20.	
CN	RX082	Marques, T.E. "A Symptom-Driven Expert System for Isolating and Correcting Network Faults." <i>IEEE</i> . 1988; 251-8.	
CN	RX083	Mazumdar, S., et al. "Knowledge-Based Monitoring of Integrated Networks" <i>IFIP</i> . 1989; 235-43.	
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CN	RX092	Moffett, J.D. "User and Mechanism Views of Distributed Systems Management." <i>IEEE/IO/BCS Distributed Systems Engineering</i> . 1993 Aug; 1(1):1-16.	
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Examiner Signature	<i>Chau Nguyen</i>	Date Considered	02/22/2005
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CN	RX106	Schaller, H.N. "A Concept for Hierarchical, Decentralized Management of Physical Configuration in the Internet." <i>KIVS '95 Chemnitz</i> . 1995 Feb 20-24; 1-14.	
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CN	RX109	Siegl, M.R., et al. "Hierarchical Network Management. A Concept and Its Prototype in SNMPv2." <i>Proceedings JENC6</i> 1995 122-1-10.	
CN	RX110	Skoog, R., et al. "Network Management and Control Mechanisms to Prevent Maliciously Induced Network Instability." retrieved from the internet at http://www.ee.umd.edu/~shayman/papers.d/noms_2002.pdf 1-13.	
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CN	RX112	Sloman, M., et al. "Domain Management for Distributed Systems" <i>IFIP</i> . 1989; 505-16.	
CN	RX113	Sloman, M. "Chapter 16: Domains: A Framework for Structuring Management Policy." in <i>Network and Distributed Systems Management</i> . Addison-Wesley Publishing Company 1994; 433-53.	

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CN	RX114	Sloman, M. "Policy Driven Management for Distributed Systems." <i>Journal of Network and Systems Management</i> . 1994; 2(4):1-22.	
CN	RX115	Sloman, M. <i>Network and Distributed Systems Management</i> . Addison-Wesley Publishing Company. 1994. i-xx, 1-666	
CN	RX116	Cabletron systems "Spectrum: Spectrophone User's Guide" Cabletron Systems 1997 i-xii, 1-1-A22	
CN	RX117	Stamatelopoulos, F. et al. "A scalable, platform-based architecture for multiple domain network management." 1995 June, retrieved from the internet at http://www.netmode.ntua.gr/papers/papers/manmib.pdf 9 pages.	
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CN	RX122	Sutter, M.T., et al. "Designing Expert Systems for Real Time Diagnosis of Self-Correcting Networks." <i>IEEE Network Magazine</i> . 1988; 109-17.	
CN	RX123	Suzuki, M., et al. "Developments of Integrated Management System NETM Based on OSI Standards" in Krishnan, I. et al., eds., <i>Integrated Network Management II IFIP</i> 1991; 189-99.	
CN	RX124	Sylor, M. "Guidelines for Structuring Manageable Entities, Integrated Management Network I." in Meandzija et al., eds., <i>Integrated Network Management, I, IFIP</i> 1989; 169-83.	
CN	RX125	Terplan, K. <i>Communications and Network Management</i> . Prentice Hall 1990; i-xviii, 1-702.	
CN	RX126	Tjaden, G., et al. "Integrated Network Management for Real-Time Operations." <i>IEEE Network Magazine</i> . 1991 Mar; 10-5.	
CN	RX127	Vassila, A., et al. "Introducing Active Managed Objects for Effective and Autonomous Distributed Management." University College London 1995 Aug 15 pages.	
CN	RX128	Wang, Z. "Model of Network Faults." in Meandzija et al., eds., <i>Integrated Network Management, I, IFIP</i> 1989; 345-52.	
CN	RX129	Warrier, U., et al. "The Common Management Information Services and Protocol Over TCP/IP (CMOT)." <i>Network Management Group RFC 1095</i> . 1989 Apr; 1-67.	
CN	RX130	Warrier, U., et al. "A Platform for Heterogeneous Interconnections Network Management" in Meandzija et al., eds., <i>Integrated Network Management, I, IFIP</i> 1989; 13-24.	
CN	RX131	Wies, R. "Policies in Network and Systems Management - Formal Definition and Architecture." <i>Journal of Network and Systems Management</i> . 1994; 3(1):63-83.	

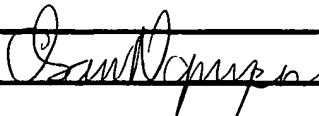
Examiner Signature	<i>Chau Nguyen</i>	Date Considered	07/27/2005
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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	09/481,643
				Filing Date	January 12, 2000
				First Named Inventor	Lundy Lewis
				Art Unit	2176
				Examiner Name	Chau Nguyen
Sheet	8	of	10	Attorney Docket Number	APB-014CNRCE3

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
CN	RX132	Wies, R. "Using a Classification of Management Policies for Policy Specification and Policy Transformation." <i>IFIP/IEEE International Symposium on Integrated Network Management</i> . 1995 May 1-5; 1-14.	
CN	RX133	Zadeh, L.A. "Outline of a New Approach to the Analysis of Complex Systems and Decision Processes." <i>IEEE Transactions on Systems, Man, and Cybernetics</i> . 1973 Jan; SMC-3(1): 28-44.	
CN	RX134	Znaty, S., et al. "Network Management Viewpoints: A New Way of Encompassing the Network Management Complexity." NTT Telecommunications Network Laboratories 1994 Feb. 18 pages.	
CN	RX135	Aguilar, L. "Using RPC for Distributed Systems Management in Krishnan, I. et al., eds. <i>Integrated Network Management II</i> IFIP 1991; 565-76.	
CN	RX136	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Defendant Micromuse Inc.'s 3 rd Supplemental Answers to Plaintiff's First Set of Interrogatories" May 6, 2004, pp.1-50.	
CN	RX137	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Second Amended Answer to Complaint for Patent Infringement and Counterclaim" May 6, 2004, pp.1-14.	

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CN	RX138	Cabletron's Spectrum Advanced Management System 3.0. "Network Management and Security, Real Distributed Management." Data Communications. 1995 Jan; 116-8.	
CN	RX139	Callahan, P.H. "Expert Systems for AT&T Switched Network Maintenance." AT&T. 1988; 263-73.	
CN	RX140	Herman, P., et al. "A Question-Answering for the French Yellow Pages."	
CN	RX141	Kalantari, M., et al. "Network Management and Control Mechanisms to Prevent Maliciously Induced Network Instability."	
CN	RX142	Pagurk, B., et al. "Knowledge Based Fault Location in Data Communication Network. IEEE Networks. 1988; 235-44.	
CN	RX143	Rosenberg. "Are Users Up in the Air Over Network Management." Network Management and Maintenance. 119.	
CN	RX144	"The OSI Management Architecture: An Overview."	
CN	RX145	ANSI X3.135-1992, Revision and Consolidation of ANSI X3.135-1989 and ANSI X3.168-1989, American National Standard for Information Systems—Database Language—SQL. New York, New York: American National Standards Institute, October 16, 1992.	
CN	RX146	Case, J., et al. "A Simple Network Management Protocol (SNMP)." Network Working Group. 1990 May; 1-36.	
CN	RX147	Frish, I., et al. Network Management and Control, Volume 2. Plenum Press, 1993. i-x, 1-514	
CN	RX148	Mazumdar, S. "Objective-Driven Monitoring." in Krishnan, I. et al., eds. Integrated Network Management II IFIP 1991; 653-857.	
CN	RX149	McCloghrie, K., et al. "Management Information Base for Network Management of TCP/IP-based Internets." Network Working Group. 1988 Aug; 1-90.	
CN	RX150	"Network Management Operations." IEEE Network Magazine. 1991; 5(2).	
	RX151	Terplan, K. Communication Networks Management, 2d. Edition, Prentice Hall 1992 i-xviii, 1-702.	

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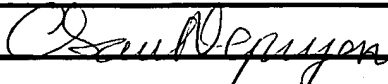
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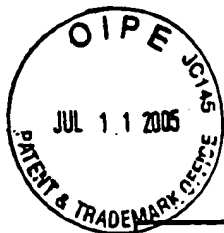
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	09/481,643
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CN	RX152	ISO/IEC 7498-4 International Standard, Information Processing Systems – Open Systems Interconnection – Basic Reference Model – Part 4: Management Framework. Geneva: International Organization for Standardization, 1 st Ed., November 15, 1989.	
CN	RX153	"Network Management Protocols." IEEE Network Magazine. 1988; 2(2).	
CN	RX154	Planning and Reference for NetView, Network Control Program, Virtual Telecommunications Access Method. Document Number SC31-6102-01, IBM Corp., 1992.	

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PTO/SB/08a/b (08-03)

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CN	RX152	ISO/IEC 7498-4 International Standard, Information Processing Systems – Open Systems Interconnection – Basic Reference Model – Part 4: Management Framework. Geneva: International Organization for Standardization, 1 st Ed., November 15, 1989; i-iv, 1-9.	
CN	RX153	"Network Management Protocols." IEEE Network Magazine. 1988; 2(2):1-66.	
CN	RX154	Planning and Reference for NetView, Network Control Program, Virtual Telecommunications Access Method. Document Number SC31-6102-01, IBM Corp., 1992; xx, 1-329.	

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